

### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Seth M. Cannon on June 3, 2009.

The application has been amended as follows:

**Claim 2** (Currently Amended): A system for implementing a compliance program in a financial institution, comprising: a list database for storing ~~material~~ information regarding a plurality of entities that is known to said financial institution, the ~~material~~ information regarding the plurality of entities being partitioned into a Grey List and a Restricted List; and a list manager module executing on at least one programmable processor, said list manager receiving a compliance query from an affiliate of the financial institution having a status, said list manager providing a compliance response to said affiliate based on said plurality of entities and according to said status of said affiliate;

an export interface module executing on the at least one programmable processor and in communication with the list manager module, the export interface

Art Unit: 3692

module receiving the ~~material~~ information regarding the plurality of entities and exporting the ~~material~~ information regarding the plurality of entities to a trading system; and

an input interface module executing on the at least one programmable processor and in communication with the list manager module, the input interface module receiving the information from the trading system, modifying the existing information to further refine the information contained in either the Restricted List or the Grey List, and forwarding the information to the list manager module.

**Claim 20** (Currently Amended): A method for implementing a compliance program in a financial institution, comprising the steps of:

storing a plurality of entities, said financial institution being associated with each of said plurality of entities;

partitioning said plurality of entities into a Grey List and a Restricted List;

receiving at a list manager module executing on at least one programmable processor a compliance query from an affiliate of the financial institution having a status;

providing a compliance response to said affiliate based on said plurality of entities and according to said status of said affiliate;

receiving the ~~material~~ information regarding the plurality of entities at an export interface module executing on the at least one programmable processor;

exporting the ~~material~~ information regarding the plurality of entities from the export interface module to a trading system;

receiving at an input interface module executing on the at least one programmable processor the information from the trading system;  
modifying the existing information to further refine the information contained in either the Restricted List or the Grey List; and  
forwarding the information from input interface module to the list manager module.

**Claims 37-50:** (Cancelled)

**Claim 51** (Currently Amended): A system for implementing a compliance program in a financial institution, comprising:

a list database that stores material information regarding a plurality of entities that are known to the financial institution, the ~~material~~ information including a Grey List, a Restricted List, and restriction information related to the entities on the Grey List and the Restricted List;

a list manager module executing on at least one programmable processor that receives a compliance query from an affiliate of the financial institution, the list manager module configured to respond to the compliance query by retrieving and displaying the information stored in the list database that is responsive to the compliance query;

an export interface module executing on the at least one programmable processor and in communication with the list manager module, the export interface module receiving the ~~material~~ information regarding the plurality of entities and

Art Unit: 3692

exporting the ~~material~~ information regarding the plurality of entities to a trading system;  
and

an input interface module executing on the at least one programmable processor  
and in communication with the list manager module, the input interface module  
receiving the information from the trading system, modifying the existing information to  
further refine the information contained in either the Restricted List or the Grey List, and  
forwarding the information to the list manager module.

**Claim 52** (Currently Amended): A method for implementing a compliance  
program in a financial institution, comprising:

storing a plurality of entities in a list database, the financial institution being  
associated with each of said plurality of entities;

partitioning the entities stored in the list database into a Restricted List and a  
Grey List;

storing restriction information related to the entities on the Restricted List and the  
Grey List;

receiving at a list manager module executing on at least one programmable  
processor a compliance query from an affiliate of the financial institution;

responding to the compliance query with the restriction information stored in the  
list database that is responsive to the compliance query;

receiving ~~the material~~ information regarding the plurality of entities at an export  
interface module executing on the at least one programmable processor;

exporting the ~~material~~ information regarding the plurality of entities from the export interface module to a trading system;

receiving at an input interface module executing on the at least one programmable processor the information from the trading system;

modifying the existing information to further verify the information contained in either the Restricted List or the Grey List; and  
forwarding the information from input interface module to the list manager module.

**Claim 54** (Currently Amended): The system of claim 2, wherein the export interface module further exports the ~~material~~ information regarding the plurality of entities to a market data system external to the financial institution.

The following is an examiner's statement of reasons for allowance:

Prior Arts either individually or in combination fail to teach or suggest a global compliance system that includes information that modifies and further refines the information contained in either a restricted or grey list. While various forms of prior art do succeed in teaching Grey Lists and Restricted Lists, these lists are limited to static lists that are checked for prior to a trade to insure compliance. The prior art fails to teach a list that is dynamic in nature and that receives information regarding a plurality of entities and exports it to a trading system and an input interface module that receives information from the trading system, modifies and refines it, and forwards it to the list manager module.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to LINDSAY M. MAGUIRE whose telephone number is (571)272-6039. The examiner can normally be reached on M-F: 7-4.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Abdi can be reached on (571) 272-6702. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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